Site Visit Scorebook

for Business, Education, and Health Care

accomplishment

recognition

Malcolm Baldrige
National
Quality
Award

Department of Commerce • Technology Administration • National Institute of Standards and Technology
Baldrige National Quality Program

1999

Site Visit Scorebook

for Business, Education, and Health Care

Criteria, Score Summary Worksheet, and Scoring Guidelines Used:

☐ Business   ☐ Education   ☐ Health Care

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Introduction

This Site Visit Scorebook is designed to provide Site Visit Teams with a concise, organized method to record findings during site visits. For detailed instructions on site visits, consult the *1999 Handbook for the Board of Examiners.*

This Scorebook contains the following forms and worksheets:

- Key Business/School Factors Worksheet
- Key Themes Worksheet
- Site Visit Issue Worksheet
- Item Worksheet
- Category Worksheet
- Summary of Sites Visited
- Score Summary Worksheet — Site Visit

The team may also download copies of the Site Visit Scorebook from our website at http://www.quality.nist.gov/99svrpt.htm or create similar worksheets on a word processor. Worksheets are described below in the order in which they appear in the Worksheet section of this booklet.

Key Business/School Factors Worksheet

The Key Business/School Factors Worksheet records the key business/school factors (KFs) that were considered in the evaluation of the applicant. KFs help define what is important and relevant to the applicant. These are listed in the Consensus Scorebook and modified as necessary to reflect new information obtained during the site visit. Knowledge and use of the KFs are essential to the proper conduct of a site visit evaluation.

Key Themes Worksheet

The Key Themes Worksheet provides key points and an overall summary of the team s evaluation of the applicant. It is an update of the Key Themes Worksheet from consensus. Please limit your summary to two pages.

This information is based on the overall context provided by the evaluation framework (the seven Categories) and the Core Values and Concepts [found in the appropriate *1999 Criteria for Performance Excellence* (Business, Education, or Health Care)] that pervade the evaluation framework. The Key Themes Worksheet should not just repeat the findings given in the Category Worksheets, but should put them in perspective, taking into account Category linkages, KFs, and core values.

The Key Themes Worksheet should respond to the following questions:

a. What are the most important strengths or outstanding practices (of potential value to other organizations) that the team identified?

b. What are the most significant concerns, weaknesses, or vulnerabilities that the team identified?

c. Considering the applicant s KFs, what are the most significant strengths, vulnerabilities, and/or gaps (data, comparisons, linkages) found in Category 7?

Note: At the end of the site visit stage, during the conference calls with the Judges, team leaders will be asked to explain the site visit findings that led to the revisions in the Key Themes Worksheet from consensus.

Site Visit Issue Worksheet

The Site Visit Issue Worksheet is initially used to describe an issue that needs verification and/or clarification at the site visit and outlines the strategy to be used to obtain the needed information. These issues are identified by the team during the consensus process and then reviewed and refined during site visit planning. Team members target those issues which will contribute most to their understanding of the performance of the applicant in the Areas of the Criteria.

After site visit issues have been identified, but before the site visit begins, the issues are prioritized (e.g., high, medium, low). Record the priority at the bottom of the page. Record the consensus evaluation of the issue [i.e., whether it was a strength (+/++), opportunity for improvement (OFI) (—/——), or not evaluated during consensus].

Only one issue is recorded per worksheet. During the site visit, any new issues developed are recorded on separate worksheets.

Prior to the site visit, the team may make copies of the partially completed worksheets so that team members can make notes on the appropriate worksheets during on-site meetings with the applicant. Each evening, Examiners review their notes and record their findings on the original copy of the worksheet. The original worksheet will be submitted as part of the Site Visit Scorebook.

In regular team meetings, using their Site Visit Issue Worksheets, team members discuss their preliminary findings and conclusions. Findings might include observations,

specific answers, and/or updated results that clearly relate to the resolution of the site visit issue. Conclusions indicate how the findings affect Category and Item comments and do not include value judgments. Until the site visit is complete, preliminary conclusions are subject to change as new information becomes available. These discussions and preliminary conclusions will help guide the team s work during the site visit.

As each issue is investigated and findings are completed, the team decides what change, if any, the site visit findings would have on the associated Item s score (i.e., raise, no effect, lower) and places a check at the bottom of the form to indicate their decision.

Item Worksheet

This worksheet is the team s record of its final evaluation of the applicant for each of the Criteria Items. There will be 19 Item Worksheets for Business and Health Care applicants and 18 for Education applicants.

As issues are addressed and findings are recorded, the team assesses and integrates these findings to develop a revised set of strengths and opportunities for improvement (OFIs) for each Item.

Strengths and OFIs will come from three main sources: 1) the Consensus Scorebook; 2) resolution of the site visit issues; and 3) new information arising from the site visit. In particular, OFIs often become more clearly defined as missing information becomes available during the site visit. Effective recording of strengths and OFIs is important for the Judges deliberations and for the feedback report.

As each Item Worksheet is completed, the team records at the bottom of the form the original consensus score for the Item and checks the appropriate space to indicate what change the site visit findings have on the score.

Category Worksheet

This worksheet is used by the team to summarize its final evaluation of each Criteria Category. The summary does not repeat the individual findings given in the Item Worksheets, but uses the Item findings in the perspective of the whole Category. The Category Worksheet may include findings that cut across all Items in the Category or Item-specific findings that have critical significance to the applicant. The Criteria core values and the applicant s KFs are useful in identifying the most important and relevant Category-level observations of the applicant s strengths and OFIs.

The Category Worksheet is based on the information gained from the site visit and the team s evaluation of the application.

As each Category Worksheet is completed, record the weighted consensus score for the Category. Decide as a team which line to check at the bottom of the form to indicate what change, if any, the site visit findings have on the score.

Summary of Sites Visited

The Summary of Sites Visited conveys the extent and thoroughness of the site visit. The team will list the major applicant locations that were visited and describe any important aspects of the sites that are not apparent from the Site Listing and Descriptors form in the application. Examples of such aspects might include: the oldest facility; the site with a major reduction in force; the location where the newest product will be manufactured; or the telephone or data service center that runs three shifts. In addition, Examiners should describe approaches they used to evaluate sites which they did not visit, including sites outside the United States.

This worksheet also notes any other information on the team s strategy for a thorough site visit. Examples might include: interviewed employees on all three shifts; inter-viewed categories/types of employees; visited at least one location in all of the operating regions; or did a sampling at all levels and in all locations of the organization s critical data systems.

Score Summary Worksheet – Site Visit

After completion of the Key Themes Worksheet, the scores and their revisions should be transferred from the Item and Category Worksheets to the Score Summary Worksheet — Site Visit. All team members must sign and initial the form.

Site Visit Scorebook Composition

When the Site Visit Scorebook writing is finished, assemble the completed scorebook in the following order.

1. Cover Sheet
2. Summary of Sites Visited
3. Key Business/School Factors Worksheet
4. Key Themes Worksheet
5. Category Worksheets (7)
6. Item Worksheets (19 for Business and Health Care, 18 for Education)
7. Site Visit Issue Worksheet(s) (number varies)
8. Score Summary Worksheet — Site Visit

Requirements for a Good Scorebook

When completed, the Site Visit Scorebook will contain a well-documented, non-biased trail of evidence that demonstrates how the Key Themes Worksheet conclusions are related to information obtained from the written application and the site visit. The trail of evidence will:

1. start with the Consensus Scorebook and site visit issues;

2. show the strategy of the site visit, as illustrated by the sites visited, the issues chosen, and the new findings;

3. describe in the Category and Item Worksheets how the site visit findings modify the conclusions drawn in the original Consensus Scorebook;

4. show how the team s conclusions in the Key Themes Worksheet can be traced from the Category and Item Worksheets; and

5. show how the team s conclusions reflect the applicant s KFs.

Site Visit Scorebook Submission

At the conclusion of the site visit, make four copies of the completed Site Visit Scorebook. Send one copy via overnight mail to:

Malcolm Baldrige National Quality Award
American Society for Quality
611 East Wisconsin Avenue
Milwaukee, WI 53202
(800) 248-1946, ext. 7205

The team leader, backup team leader, and Scorebook editor will each retain a copy. The NIST monitor will hand-carry the original report to NIST.

Key Business/School Factors Worksheet

List the applicant s key business/school factors. The factors should be those listed in the Consensus Scorebook and modified as necessary to reflect new information obtained during the site visit.

Key Themes Worksheet

Summarize the team s assessment of the key themes relating to the evaluation of the applicant. This worksheet updates the Key Themes Worksheet from the Consensus Scorebook and responds to the three questions below. Take into account the seven Categories, Category linkages, key business/school factors, and the Core Values and Concepts found in the appropriate *1999 Criteria for Performance Excellence* (Business, Education, or Health Care).

a. What are the most important strengths or outstanding practices (of potential value to other organizations) that the team identified?

b. What are the most significant concerns, weaknesses, or vulnerabilities that the team identified?

c. Considering the applicant s key business/school factors, what are the most significant strengths, vulnerabilities, and/or gaps (data, comparisons, linkages) found in Category 7?

Site Visit Issue Worksheet

Item Ref: _____   Issue **(Record only one issue per page.)**:

_____

Consensus Evaluation: *Strength* ___ + ___ ++   *Opportunity for Improvement* ___ — ___ ——   Not originally evaluated ___

Strategy (What information do you need, and how do you intend to obtain it, e.g., persons to interview, questions to ask, specific documents to review and for what purpose, and observations to make?):

_____

Findings (Observations, specific answers, and/or updated results):

_____

Conclusions (What is the resolution of this site visit issue based on your findings?):

_____

Effect of Findings/Conclusions on Score: ___ raise   ___ no effect   ___ lower
(If more than one finding, put "" next to the most important one for the score change.)*

Application Number_____   Priority_____ (High, Medium, Low)   Examiner Initials_____

Item Worksheet

Prepare one Item Worksheet for each Item of the appropriate *1999 Criteria for Performance Excellence* (Business, Education, or Health Care).

+/++   **Area to Address**   **(+) STRENGTHS**

–/– –   **Area to Address**   **(–) OPPORTUNITIES FOR IMPROVEMENT**

Consensus Score:

_____ %

Change Due to Site Visit Findings:

___ raise large   ___ raise small   ___ no change   ___ lower small   ___ lower large

Application Number_____   Item Number_____

Category Worksheet

Summarize the team s final evaluation of this Category. Do not repeat the individual findings given in the Item Worksheets. The Category Worksheet may include findings that cut across all Items in the Category or Item-specific findings that have critical significance to the applicant. The Criteria core values and the applicant s key business/school factors are useful in identifying the most important and relevant Category-level observations. Highlight any significant strengths of the applicant. Prepare one Category Worksheet for each Category of the appropriate *1999 Criteria for Performance Excellence* (Business, Education, or Health Care).

(+) STRENGTHS

(–) OPPORTUNITIES FOR IMPROVEMENT

Consensus Score:

_____ %

Change Due to Site Visit Findings:

___ raise large   ___ raise small   ___ no change   ___ lower small   ___ lower large

Application Number_____   Category_____

Summary of Sites Visited

This worksheet conveys the extent and thoroughness of the site visit.

Length of the Site Visit (number of days with the applicant):

Sites Visited (List the major applicant sites visited, and describe any important aspects of the sites that are not apparent from the Site Listing and Descriptors form in the application.):

Approach Used to Evaluate Sites Not Visited, Including Sites Outside of the United States (if appropriate):

Other Information on the Team s Strategy for a Thorough Site Visit (e.g., categories and types of employees interviewed and shifts):

Application Number_____

Score Summary Worksheet – Site Visit

Summary of Scoring Revisions:

Instructions: Transfer the Item and Category scores and changes due to the site visit findings from the Item and Category Worksheets and then record the score revision for the application as a whole.

Consensus Item Percent Score	Consensus Category Percent Score	Changes Due to Site Visit Findings				
1.1 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
1.2 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
	1 _____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large
2.1 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
2.2 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
	2 _____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large
3.1 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
3.2 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
	3 _____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large
4.1 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
4.2 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
4.3 _____ *		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
	4 _____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large
5.1 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
5.2 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
5.3 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
	5 _____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large
6.1 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
6.2 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
6.3 _____ **		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
	6 _____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large
7.1 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
7.2 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
7.3 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
7.4 _____		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
7.5 _____ ***		___ raise large	___ raise small	___ no change	___ lower small	___ lower large
	7 _____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large
Consensus Score	_____	___ raise large	___ raise small	___ no change	___ lower small	___ lower large

* Education and Health Care only   *** Business only*   **** Business and Health Care only*

Signature Statement:

I have no conflict of interest with the applicant, and I support this scorebook of the Site Visit Team.

Name (Please print)   Signature

_____   _____

_____   _____

_____   _____

_____   _____

_____   _____

_____   _____

_____   _____

Application Number_____

Baldrige National Quality Program

The National Institute of Standards and Technology (NIST) is a non-regulatory federal agency within the Commerce Department s Technology Administration. NIST s primary mission is to promote U.S. economic growth by working with industry to develop and apply technology, measurements, and standards. The Baldrige National Quality Program at NIST manages the Malcolm Baldrige National Quality Award.

Call NIST for:

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¥ information on the content of Baldrige Award documents

¥ individual copies of the Criteria (no cost)

¥ Application Forms & Instructions for Business, Education, and Health Care (no cost)

¥ Examiner applications (no cost)

¥ information on other Baldrige Program materials

Telephone: (301) 975-2036; Fax: (301) 948-3716; E-mail: nqp@nist.gov
Web Address: http://www.quality.nist.gov

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